

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No: D-3011

Total Pages in this Submission

## TO THE U.S. PATENT AND TRADEMARK OFFICE

Box Patent Application

PO BOX 2327

ARLINGTON, VA 22202

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 CFR 1.53(b) is a new utility patent application for an invention entitled:

**OPHTHALMIC COMPOSITIONS FOR LUBRICATING EYES  
AND METHODS FOR MAKING AND USING SAME**

and invented by:

CHANG ET AL

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

## Enclosed are Application Elements:

- ☒ Filing Fee
- ☒ Specification having page(s) and including the following:
- ☒ Title of the Invention
  - ☐ Cross References to Related Applications (if applicable)
  - ☒ Background of the Invention
  - ☒ Brief Summary of the Invention
  - ☐ Description of the Drawings
  - ☒ Detailed Description
  - ☒ Claim(s) as Classified Below
  - ☒ Abstract of the Disclosure
- ☐ \_ Sheets of Drawings(s) (37 CFR 113) ☐ Formal ☐ Informal
- ☒ Oath or Declaration ☒ Executed ☐ Unexecuted
- ☐ Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- ☒ Power of Attorney ☒ Executed ☐ Unexecuted
- ☐ Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- ☐ Incorporation By Reference -- The entire disclosure of the prior application from which a copy of the oath or declaration is supplied under the above entry, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- ☐ Computer Program in Microfiche (Appendix)

## Accompanying Application Parts

- ☒ Assignment Papers (cover sheets & documents(s))
- ☐ The prior application is assigned of record to
- ☐ Copy from prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- ☐ 37 CFR 3.73(B) Statement (when there is an assignee)

- [ ] English Translation Document (if applicable)  
 [ ] Information Disclosure Statement/PTO-1449  
 [ ] Preliminary Amendment  
 [X] Acknowledgment postcard  
 [X] Certificate of Mailing by Express Mail  
 [X] APPLICATION DATA SHEET  
 [X] REQUEST FOR NON-PUBLICATION

[ ] Copies of \_ IDS Cited Reference(s)

### Fee Calculation and Transmittal

\* The filing fee is calculated on the basis of the claims existing in the prior application as amended by the accompanying preliminary amendment noted above.

| CLAIMS AS FILED  |        |          |        |           |           |
|--|--------|----------|--------|-----------|-----------|
| For  | #Filed | #Allowed | #Extra | Rate      | Fee       |
| <b>Total Claims</b>  | 40     | - 20 =   | 20     | X \$18.00 | \$360.00  |
| <b>Independent Claims</b>  | 3      | - 3 =    | 0      | X \$84.00 | \$ 0.00   |
| <b>Multiple Dependent Claims</b> (check if applicable) [ ]                               |        |          |        |           | \$ 0.00   |
| <b>BASIC FEE</b>   |        |          |        |           | \$ 740.00 |
| <b>OTHER FEE</b> (specify purpose)   |        |          |        |           | \$ 0.00   |
| (Applicant has small entity status under 37 CFR 1.9 and 1.27) <b>SMALL ENTITY STATUS</b> |        |          |        |           | --        |
| <b>TOTAL FILING FEE</b>  |        |          |        |           | \$1100.00 |

- [ ] A check in the amount of \$ \_\_ to cover the filing fee and the assignment fee is enclosed.  
 [x] The Commissioner is hereby authorized to charge and/or credit Deposit Account Number **01-0885** as described below.  
 [x] Charge the amount of \$1100.00 as filing fee.  
 [x] Credit any overpayment.  
 [x] Charge any additional filing fees required under 37 CFR 1.16 and 1.17.

Respectfully Submitted,



FRANK J. UXA  
 Attorney for Applicants  
 Reg. No: 25,612

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DOCKET NO.: D-3011

THE ENCLOSED PATENT APPLICATION OF CHANG ET AL IS BEING  
FILED IN ACCORDANCE WITH SECTION 37 CFR 1.10 BY EXPRESS  
MAIL AND SHOULD BE ACCORDED A FILING DATE OF

December 14, 2001

SEE THE EXPRESS MAIL CERTIFICATE ATTACHED TO THE APPLICATION.

DOCKET "D-3011"

D-3011

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT

In re application of:

CHANG et al

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Group Art Unit: N/A

Serial No. N/A

Examiner: N/A

Dated: Submitted herewith

For: OPHTHALMIC COMPOSITIONS FOR  
LUBRICATING EYES AND METHODS  
FOR MAKING AND USING SAME

Express Mail Mailing Label No. EL608287884US

Date of Deposit: December 14, 2001

I hereby certify that the following documents as identified below are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Box New App, Washington, D.C. 20231:

1. Transmittal Letter;
2. Application Data Sheet;
3. Request for Non-Publication of Application;
4. New Application;
5. Declaration; and
6. Recordation Cover Sheet and Assignment.

The 6 above-identified documents are enclosed herewith.

Respectfully submitted,



Janet E. McGhee, Office of  
Frank J. Uxa

Attorney for Applicant

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FOOTNOTES

D-3011

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT

In re application of:

CHANG et al

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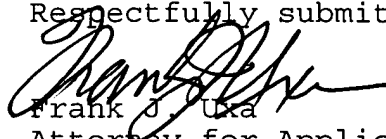
REQUEST FOR **NON-PUBLICATION** OF APPLICATION  
UNDER 37 CFR 213(a)

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Applicant hereby requests that the above-identified application, filed concurrently herewith, **NOT BE PUBLISHED** under 35 USC 122(b). In making this request, applicant certifies that the invention disclosed in the application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at 18 months after filing.

Respectfully submitted,



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